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Attorney Docket No. YOR920010334US1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application

Applicant(s): J.L. Hellerstein et al.
Docket No.: YOR920010334US1
Serial No.: 09/896,254
Filing Date: June 29, 2001
Group: 2164
Examiner: Unassigned

I hereby certify that this paper is being deposited on this date with the U.S. Postal Service as priority mail addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature: Judith Ryan Date: November 20, 2001

Title: Automated Service Level Management
in Financial Terms

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INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Pursuant to 37 C.F.R. §§1.56, 1.97 and 1.98, Applicants' attorney wishes to bring to the attention of the Patent and Trademark Office the following documents listed on the accompanying Form PTO-1449. A copy of each listed document is enclosed.

U.S. Patent Documents

1. U.S. Patent No. 6,073,175 issued on 06/06/00 to Tavs et al.
2. U.S. Patent No. 5,946,662 issued on 08/31/99 to Ettl et al.
3. U.S. Patent No. 5,608,621 issued on 03/04/97 to Caveney et al.
4. U.S. Patent No. 5,615,109 issued on 03/25/97 to Eder
5. U.S. Patent No. 5,473,773 issued on 12/4/95 to Aman et al.
6. U.S. Patent Application Serial No. 09/716,862, filed November 20, 2000 in the name of inventors R.N. Chang et al. and entitled, "Apparatus, System, and Method for Managing Quality-of-Service-Assured E-Business Service Systems."

7. U.S. Patent Application Serial No. 09/642,526, filed August 18, 2000 in the name of inventors J.L. Hellerstein et al. and entitled, "Electronic Service Level Agreement for Web Site and Computer Services Hosting."

Other Documents

1. Tomoo Fujita, "Web Computing Operation Manager for Integrated Network and System Management," NEC Research and Development, Vol. 41, No. 4, pp. 318-321, October 2000.

2. Amitava Dutta-Roy, "The Cost of Quality in Internet-Style Networks," IEEE Spectrum, 9 pages, September 2000.

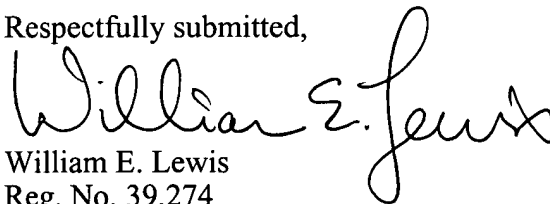
3. D.A. Menascé et al., "Resource Management Policies for E-commerce Servers," Performance Evaluation Review, Vol. 27, No. 4, 9 pages, March 2000.

4. Gregory A. Kruger, "The Supply Chain Approach to Planning and Procurement Management," Hewlett-Packard Journal, pp. 28-38, February 1997.

It is believed that there is no fee due in conjunction with the filing of this Information Disclosure Statement. In the event of non-payment or improper payment of a required fee, the Commissioner is authorized to charge or to credit **International Business Machines Corporation Deposit Account No. 50-0510** as required to correct the error.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made, or as an admission that the information cited is considered to be material to patentability, or as a representation that no other material information exists.

Respectfully submitted,



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Date: November 20, 2001

FORM PTO-1449 (MODIFIED)

LIST OF PUBLICATIONS FOR
APPLICANT'S INFORMATION
DISCLOSURE STATEMENT

Applicant(s): J.L. Hellerstein et al.
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U.S. PATENT DOCUMENTS

EXAMINER					FILING DATE
INITIAL	DOCUMENT NO.	DATE	NAME	CLASS/SUBCLASS	IF APPROPRIATE
___	1. 6,073,175	06/06/00	Tavs et al.		
___	2. 5,946,662	08/31/99	Ettl et al.		
___	3. 5,608,621	03/04/97	Caveney et al.		
___	4. 5,615,109	03/25/97	Eder		
___	5. 5,473,773	12/4/95	Aman et al.		
___	6. 09/716,862	11/20/00	R.N. Chang et al. and entitled, "Apparatus, System, and Method for Managing Quality-of-Service-Assured E-Business Service Systems."		
___	7. 09/642,526	8/18/00	J.L. Hellerstein et al. and entitled, "Electronic Service Level Agreement for Web Site and Computer Services Hosting."		

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FOREIGN PATENT DOCUMENTS

EXAMINER					TRANSLATION	
INITIAL	DOCUMENT NO.	DATE	COUNTRY	CLASS/SUBCLASS	YES	NO

OTHER DOCUMENTS

EXAMINER		REF NO.	AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.
___		1.	Tomoo Fujita, "Web Computing Operation Manager for Integrated Network and System Management," NEC Research and Development, Vol. 41, No. 4, pp. 318-321, October 2000.
___		2.	Amitava Dutta-Roy, "The Cost of Quality in Internet-Style Networks," IEEE Spectrum, 9 pages, September 2000.
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Examiner

Date Considered

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.